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**OFFICIAL BUSINESS**

Date: May 19, 2004

To: Angela Green  
Decision and Certificate of Correction  
Branch of the Patent Issue Division

Fax No.: 703-746-6169

From: Stephen P. Burr

Subject: U.S. Patent Number: 6,539,130 B2  
Issued: March 25, 2003  
Name of Patentees: Atsuo KONDO, Jungo KONDO and Kenji AOKI  
Title: TRAVELING WAVE OPTICAL MODULATORS

Our Ref.: 782\_141

You should receive 15 page(s) including this cover sheet. If you do not receive all pages, please call (315) 233-8300.

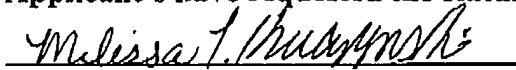
**CERTIFICATION OF FACSIMILE TRANSMISSION**

I hereby certify that the following papers are being facsimile transmitted to 703-746-6169 at the Patent and Trademark Office on May 19, 2004:

- Copy of Second Request for Reconsideration filed on December 1, 2003 13 pages
- Copy of PTO Fax Confirmation dated December 1, 2003 1 page
- This Cover Sheet 1 page

Total Pages 15

**Please advise of the status of this Second Request for Reconsideration.**  
**This is the second time Applicant's have requested the status of this matter.**

  
Melissa T. Kuczynski

IMPORTANT - THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE TO DELIVER IT TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT READING, DISSEMINATING, DISTRIBUTING OR COPYING THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE IMMEDIATELY NOTIFY US BY TELEPHONE, AND DESTROY THE COMMUNICATION. THANK YOU.

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**OFFICIAL BUSINESS**

Date: December 1, 2003

To: Angela Green  
Deborah and Certificate of Correction  
Branch of the Patent Issue Division  
At Mr. Omega Lewis

Fax No.: 703-872-0506

From: Stephen M. Murr

Subject: U.S. Patent Number: 6,519,130 at  
Issued: March 31, 2003  
Name of Inventor: AIMA: KONDO, Junzo KONDO and Kenji AOKI  
Title: TRAVELING WAVE OPTICAL MODULATORS

Our Ref: 782-141

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**CERTIFICATION OF FACSIMILE TRANSMISSION**

I hereby certify that the following page(s) were being transmitted to 703-808-6672 at the Patent and Trademark Office on December 1, 2003:

• Second Request for Reconsideration	2 pages
• Appendix A (Certificate of Correction)	2 pages
• Appendix B (Request for Reconsideration filed October 1, 2003)	8 pages
• This Cover Sheet	1 page
<b>Total Pages:</b>	<b>13</b>

*James M. Murr*  
James M. Murr

NOTATIONS: THIS FACSIMILE TRANSMISSION IS FOR THE USE OF THE INVENTOR OR THE INVENTOR'S ATTORNEY. IT IS NOT TO BE REPRODUCED OR TRANSMITTED IN ANY FORM OR BY ANY MEANS, ELECTRONIC OR MECHANICAL, INCLUDING PHOTOCOPYING, RECORDING, OR BY ANY INFORMATION STORAGE AND RETRIEVAL SYSTEM, WITHOUT PERMISSION IN WRITING FROM THE UNITED STATES PATENT AND TRADEMARK OFFICE. IF YOU HAVE ANY QUESTIONS OR NEED ASSISTANCE, PLEASE CONTACT THE UNITED STATES PATENT AND TRADEMARK OFFICE BY TELEPHONE. FOR A LIST OF UNITED STATES PATENT AND TRADEMARK OFFICE TELEPHONE NUMBERS, VISIT THE WEBSITE: [www.uspto.gov](http://www.uspto.gov)

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PAGE 141 RCVD AT 12/1/03 11:10:08 AM [Eastern Daylight Time] \* SVR:USPTO-EFXXF-2/0 \* DNIS:7466169 \* CSID:3152338320 \* DURATION (mm:ss):03:40

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**OFFICIAL BUSINESS**

Date: December 1, 2003

To: Angela Green  
Decision and Certificate of Correction  
Branch of the Patent Issue Division  
c/o Mr. Omega Lewis

Fax No.: 703-872-9306

From: Stephen P. Burr

Subject: U.S. Patent Number: 6,539,130 B2  
Issued: March 25, 2003  
Name of Patentees: Atsuo KONDO, Jungo KONDO and Kenji AOKI  
Title: TRAVELING WAVE OPTICAL MODULATORS

Our Ref.: 782\_141

You should receive 13 page(s) including this cover sheet. If you do not receive all pages, please call (315) 233-8300.

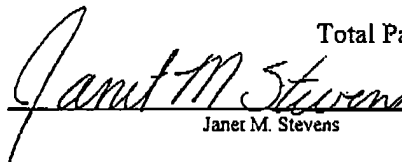
**CERTIFICATION OF FACSIMILE TRANSMISSION**

I hereby certify that the following paper(s) is/are being facsimile transmitted to 703-308-6672 at the Patent and Trademark Office on December 1, 2003:

- |  |                |
|--|----------------|
| • Second Request for Reconsideration                             | <u>2</u> pages |
| • Appendix A (Certificate of Correction)                         | <u>2</u> pages |
| • Appendix B (Request for Reconsideration filed October 1, 2003) | <u>8</u> pages |
| • This Cover Sheet   | <u>1</u> page  |

Total Pages

13

  
Janet M. Stevens

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**BURR & BROWN**

Practitioner's Docket No.: 782\_141

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent Number: 6,539,130 B2  
Issued: March 25, 2003  
Name of Patentee(s): Atsuo KONDO, Jungo KONDO and Kenji AOKI  
Title of Invention: TRAVELING WAVE OPTICAL MODULATORS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
**ATTENTION:**  
**Decision and Certificate of Correction**  
**Branch of the Patent Issue Division**  
**Attention: Angela Green**  
**c/o Mr. Omega Lewis**

**CERTIFICATION OF FACSIMILE  
TRANSMISSION**

I hereby certify that this paper is being facsimile  
transmitted to the Patent and Trademark Office (703) 308-  
6672 on December 1, 2003.

*Janet M. Stevens*  
Janet M. Stevens

**SECOND REQUEST FOR RECONSIDERATION**

Dear Ms. Green:

The PTO issued a Certificate of Correction for the above-referenced patent on November 18, 2003. A copy of the Certificate of Correction is attached hereto as Appendix A.

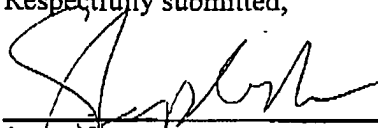
The Certificate of Correction was issued in response to the Request for Reconsideration that we filed, at your request, on October 1, 2003. A copy of that Request for Reconsideration (which included a copy of our original Request for Certificate of Correction filed July 16, 2003) is attached hereto as Appendix B.

You can see from comparing the two documents that the Certificate of Correction in Appendix A does not include all of the requested changes outlined in the original Request for Certificate of Correction attached in Appendix B. Specifically, the PTO has simply omitted "page 1 of 3" from the original Request for Certificate of Correction.

In light of the foregoing, the PTO should rescind the Certificate of Correction in Appendix A and issue a new Certificate of Correction that includes all of the changes outlined in the original Request for Certificate of Correction attached in Appendix B hereto.

Please contact me directly if you have any questions concerning this matter.

Respectfully submitted,

  
\_\_\_\_\_  
Stephen P. Burr  
Reg. No. 32,970

December 1, 2003

Date

SPB/jms

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233/8320

APPENDIX A

UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION

PATENT NO. : 6,539,130 B2  
DATED : March 25, 2003  
INVENTOR(S) : Atsuo Kondo, Jungo Kondo and Kenji Aoki

Page 1 of 2

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Column 1.

Line 34, please change "differed" to -- differs --  
Line 34, please change "other, which might result in" to -- other waveguide portion, the result could be a --  
Line 49, please delete " \_ "

Column 2.

Line 51, please change "pural" to -- plural --  
Line 54, please change "approached" to -- similar --  
Line 54, please add -- waveguide portion -- after "other"  
Line 56, please change "said" to -- the --  
Line 58, please change "said" to -- the --  
Line 63, please change "said" to -- the --

Column 3.

Line 8, please delete "does not"  
Line 22, please change "on working" to -- in --  
Line 44, please delete "and" (first occurrence)  
Line 57, please add -- 10 -- after "portion" (second occurrence)  
Line 61, please change "9" to -- 7 --

Column 4.

Line 7, please change "extend" to -- extends --  
Line 59, please change "approached" to -- substantially matched --

UNITED STATES PATENT AND TRADEMARK OFFICE  
**CERTIFICATE OF CORRECTION**

PATENT NO. : 6,539,130 B2  
DATED : March 25, 2003  
INVENTOR(S) : Atsuo Kondo, Jungo Kondo and Kenji Aoki

Page 2 of 2

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Column 5.

Line 17, please delete Japanese characters after "(optoelectric field"



Signed and Sealed this  
Eighteenth Day of November, 2003

A handwritten signature in black ink, which appears to read "James E. Rogan", is written over a horizontal line. The signature is stylized and cursive.

JAMES E. ROGAN  
*Director of the United States Patent and Trademark Office*



APPENDIX B

Practitioner's Docket No.: 782\_141

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Number: 6,539,130 B2  
Issued: March 25, 2003  
Name of Patentee(s): Atsuo KONDO, Jungo KONDO and Kenji AOKI  
Title of Invention: TRAVELING WAVE OPTICAL MODULATORS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
ATTENTION:  
Decision and Certificate of Correction  
Branch of the Patent Issue Division  
Attention: Angela Green  
c/o Mr. Omega Lewis

CERTIFICATION OF FACSIMILE  
TRANSMISSION

I hereby certify that this paper is being facsimile transmitted  
to the Patent and Trademark Office (703) 308-6672 on  
October 1, 2003.

*Melissa T. Kuczynski*  
Melissa T. Kuczynski

## REQUEST FOR RECONSIDERATION

Dear Ms. Green:

Attached is a copy of the Request for Certificate of Correction that we filed in the U.S. PTO on July 16, 2003, as well as your response thereto which was mailed September 24, 2003.

As I explained to you yesterday, the errors for which we requested correction in the above-referenced patent are changes that were made to this application via the Amendment filed July 26, 2002. The Notice of Allowance in this application clearly indicates that the Examiner responded to the July 26, 2002 Amendment, and did not indicate that he was refusing entry of that Amendment or any part of the substitute abstract and substitute specification filed therewith.

In view of the foregoing, your assertion that the patent was printed in accordance with the PTO record as passed to issue by the Examiner is simply erroneous. The Examiner clearly passed this application to issue after entry of the substitute specification and abstract.

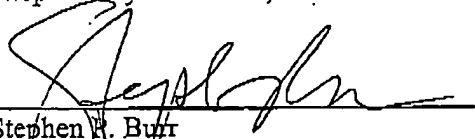
In view of the foregoing, it is respectfully requested that our original Request for Certificate of Correction be granted immediately.

Please telephone me if you have any questions about this paper.

Respectfully submitted,

October 1, 2003

Date

  
Stephen R. Burr  
Reg. No. 32,970

SPB/mtk

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233/8320

Your mail room stamp hereon will acknowledge receipt of a Request for  
Certificate of Correction of Patent for PTO Mistake and Form PTO-1050 (in  
duplicate) for:

**782\_141**

**Date of Mailing: July 16, 2003**

**SPB/tlp**

**Patent No.: 6,539,130 B2**

**Issue Date: March 25, 2003**

**Serial No.: 09/738,174**

**Filed: December 15, 2000**

**Art Unit: 2874**

**For: TRAVELING WAVE OPTICAL MODULATORS**

**Certificate**  
**JUL 23 2003**  
**of Correction**

**COPY**

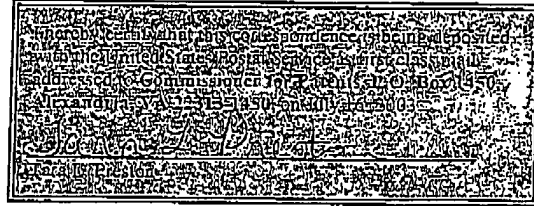
Practitioner's Docket No.: 782\_141

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Number: 6,539,130 B2  
Issued: March 25, 2003  
Name of Patentee(s): Atsuo KONDO, Jungo KONDO and Kenji AOKI  
Title of Invention: TRAVELING WAVE OPTICAL MODULATORS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
ATTENTION:  
Decision and Certificate of Correction  
Branch of the Patent Issue Division



REQUEST FOR CERTIFICATE OF CORRECTION OF PATENT  
FOR PTO MISTAKE (37 C.F.R. § 1.322(a))

1. Attached, in duplicate, is Form PTO-1050, with at least one copy being suitable for printing.
2. The exact page and line number where the errors are shown correctly in the application file are:

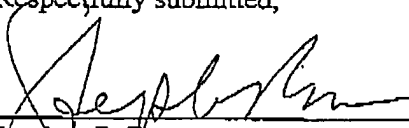
Amendment filed July 26, 2002 (substitute abstract and substitute specification)

Please send the Certificate to the undersigned representative.

Respectfully submitted,

July 16, 2003

Date

  
Stephen P. Burr  
Reg. No. 32,970

SPB/tlp

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 25191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320

**COPY**

UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION

PATENT NO. : 6,539,130 B2  
DATED : March 25, 2003  
INVENTOR(S) : Atsuo KONDO, Jungo KONDO and Kenji AOKI

It is hereby certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

Abstract (Title Page)

Line 4: please change "plate \_\_ and comprising" to --plate. The substrate includes--  
Line 5: please change "thickness;" to --thickness.--  
Line 6: please change "first" to --First--  
Line 7: please add --are-- before "formed"  
Line 8: please change "substrate; a set of electrodes" to --substrate. A set of electrodes are--  
Line 9: please add --are-- after "and"  
Line 11: please change "portions; to --portions.--  
Line 12: please change "and a buffer layer" to --A buffer layer is--  
Line 13: please add --with-- after "substrate,"

Column 1

Line 27: please change "waveguides" to --waveguide--  
Line 29: please change "lines, and that lights, which" to --portions, such that light--  
Line 30: please change "come out from the branched optical waveguides are coupled" to --propagates through the branched optical waveguide portion and is coupled--  
Line 31: please change "together again, so that the" to --into one stream of light again. Accordingly, it is desirable that the--  
Line 32: please change "needs to be the same. However," to --portions is the same. If--  
Line 33: please add --portion-- after "waveguide"

MAILING ADDRESS OF SENDER:

PATENT NO.: 6,539,130 B2

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UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION

PATENT NO. : 6,539,130 B2  
DATED : March 25, 2003  
INVENTOR(S) : Atsuo KONDO, Jungo KONDO and Kenji AOKI

It is hereby certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

Column 1 (cont'd)

*Line 34:* please change "differed" to --differs--

*Line 34:* please change "other, which might result in" to --other waveguide portion, the result could be a--

*Line 49:* please delete " \_ "

Column 2

*Line 51:* please change "pural" to --plural--

*Line 54:* please change "approached" to --similar--

*Line 54:* please add --waveguide portion-- after "other"

*Line 56:* please change "said" to --the--

*Line 58:* please change "said" to --the--

*Line 63:* please change "said" to --the--

Column 3

*Line 8:* please delete "does not"

*Line 22:* please change "on working" to --in--

*Line 44:* please delete "and" (first occurrence)

*Line 57:* please add --10-- after "portion" (second occurrence)

*Line 61:* please change "9" to --7--

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PATENT NO.: 6,539,130 B2

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UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION

PATENT NO. : 6,539,130 B2  
DATED : March 25, 2003  
INVENTOR(S) : Atsuo KONDO, Jungo KONDO and Kenji AOKI

It is hereby certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

Column 4

*Line 7:* please change "extend" to --extends--

*Line 59:* please change "approached" to --substantially matched--

Column 5

*Line 17:* please delete Japanese characters after "(optoelectric field"

MAILING ADDRESS OF SENDER:

PATENT NO.: 6,539,130 B2

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Form PTO-1050

Page 3 of 3

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